

U.S.S.N.: 09/141,220  
Filed: August 27, 1998  
**TRANSMITTAL OF STATEMENTS CLAIMING SMALL  
ENTITY STATUS AND STATEMENTS UNDER 37 C.F.R. § 3.73(b)**

**RECEIVED**

**DEC 16 1999**

**TECH CENTER 1600/2900**

**CERTIFICATE OF MAILING UNDER 37 C.F.R. § 1.8(a)**

I hereby certify that this Transmittal of Statements Claiming Small Entity Status and Statements Under 37 C.F.R. § 3.73(b), together with any paper referred to as being attached or enclosed, is being deposited with the United States Postal Service on the date shown below with sufficient postage as first-class mail in an envelope addressed to Assistant Commissioner for Patents, Washington, D.C. 20231.

Chandra Russell  
Chandra Russell

Date: December 10, 1999

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DEC 16 1999  
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE TECH CENTER 1600/2900

Applicants: Gary A. Bannon, A. Wesley Burks, Jr., Hugh A. Sampson, and Howard B. Sosin

Serial No.: 09/141,220

Group Art Unit: 1644

Filed: August 27, 1998

Examiner: Nolan, P.



For: *METHODS AND REAGENTS FOR DECREASING CLINICAL REACTION  
TO ALLERGY*

Assistant Commissioner for Patents  
Washington, D.C. 20231

**TRANSMITTAL OF STATEMENTS CLAIMING SMALL ENTITY STATUS  
AND STATEMENTS UNDER 37 C.F.R. § 3.73(b)**

Sir:

Applicants enclose the following for filing in the above-identified patent application:

1. Statement Claiming Small Entity Status (37 C.F.R. §§ 1.9(f) and 1.27(d) --- Nonprofit Organization) executed by assignee University of Arkansas;
2. Statement Under 37 C.F.R. § 3.73(b) executed by assignee University of Arkansas;
3. Statement Claiming Small Entity Status (37 C.F.R. §§ 1.9(f) and 1.27(d) --- Nonprofit Organization) executed by assignee Mt. Sinai School of Medicine of the City University of New York;
4. Statement Under 37 C.F.R. § 3.73(b) executed by assignee Mt. Sinai School of Medicine of the City University of New York;

U.S.S.N.: 09/141,220

Filed: August 27, 1998

**TRANSMITTAL OF STATEMENTS CLAIMING SMALL  
ENTITY STATUS AND STATEMENTS UNDER 37 C.F.R. § 3.73(b)**

5. Statement Claiming Small Entity Status (37 C.F.R. §§ 1.9(f) and 1.27(c) --- Small Business Concern) executed by assignee Panacea Pharmaceuticals, LLC; and
6. Statement Under 37 C.F.R. § 3.73(b) executed by assignee Panacea Pharmaceuticals, LLC.

Respectfully submitted,



\_\_\_\_\_  
Patrea L. Pabst  
Reg. No. 31,284

Date: December 10, 1999

ARNALL GOLDEN & GREGORY, LLP  
2800 One Atlantic Center  
1201 West Peachtree Street  
Atlanta, Georgia 30309-3450  
404-873-8794  
404-873-8795 (fax)

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**STATEMENT CLAIMING SMALL ENTITY STATUS  
(37 CFR 1.9(f) & 1.27(d))--NONPROFIT ORGANIZATION**
**Docket Number (Optional)  
HS 102**

Applicant, Patentee, or Identifier: Gary A. Bannon, A. Wesley Burks, Jr., Hugh A. Sampson, and Howard B. Sosin

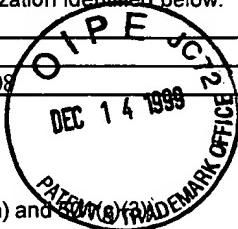
Application or Patent No.: 09/141,220

Filed or Issued: August 27, 1998

Title: **METHODS AND REAGENTS FOR DECREASING  
CLINICAL REACTION TO ALLERGY**

I hereby state that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF NONPROFIT ORGANIZATION The University of Arkansas

ADDRESS OF NONPROFIT ORGANIZATION 2404 North University Avenue  
Little Rock, Arkansas 72207-3608

TYPE OF NONPROFIT ORGANIZATION:

 UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3)) NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA  
(NAME OF STATE \_\_\_\_\_)  
(CITATION OF STATUTE \_\_\_\_\_) WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3))  
IF LOCATED IN THE UNITED STATES OF AMERICA WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED  
STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA  
(NAME OF STATE \_\_\_\_\_)  
(CITATION OF STATUTE \_\_\_\_\_)

I hereby state that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees to the United States Patent and Trademark Office regarding the invention described in:

- the specification filed herewith with title as listed above.  
 the application identified above.  
 the patent identified above.

I hereby state that rights under contract or law have been conveyed to and remain with the nonprofit organization regarding the above identified invention. If the rights held by the nonprofit organization are not exclusive, each individual, concern, or organization having rights in the invention must file separate statements as to their status as small entities and that no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern, or organization having any rights in the invention is listed below:

- no such person, concern, or organization exists.  
 each such person, concern, or organization is listed below.

Mt. Sinai School of Medicine of the City University of New York, One Gustave L. Levy Place,  
New York, NY 10029-6574; Panacea Pharmaceuticals, LLC, 640 Sasco Hill Road, Fairfield, Connecticut 06430  
I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of  
entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance  
fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

Mr. Harold J. Evans

Assoc. V.P. For Legal Affairs

University of Arkansas

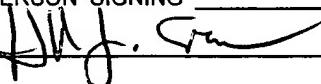
2404 North University Avenue

Little Rock, AR 72207

NAME OF PERSON SIGNING \_\_\_\_\_

TITLE IN ORGANIZATION OF PERSON SIGNING \_\_\_\_\_

ADDRESS OF PERSON SIGNING \_\_\_\_\_

SIGNATURE 

DATE November 9, 1998

**STATEMENT UNDER 37 CFR 3.73(b)**Applicant/Patent Owner: Gary A. Bannon, A. Wesley Burks, Jr., Hugh A. Sampson, and Howard B. SosinApplication No./Patent No.: 09/141,220 Filed/Issue Date: August 27, 1998Entitled: METHODS AND REAGENTS FOR DECREASING CLINICAL REACTION TO ALLERGYUniversity of Arkansas, a University,

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

- the assignee of the entire right, title, and interest; or
- an assignee of an undivided part interest

in the patent application/patent identified above by virtue of either:

A.  An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the Patent and Trademark Office at Reel 010065, Frame 0008, or for which a copy thereof is attached.

OR

B.  A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
2. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
3. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

 Additional documents in the chain of title are listed on a supplemental sheet. Copies of assignments or other documents in the chain of title are attached.

**[NOTE]** A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the PTO. See MPEP 302-302.8

The undersigned (whose title is supplied below) is empowered to sign this statement on behalf of the assignee.

November 9, 1999  
 Date

Signature

 Mr. Harold J. Evans  
 Assoc. V.P. For Legal Affairs  
 University of Arkansas

Title

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

STATEMENT CLAIMING SMALL ENTITY STATUS  
(37 CFR 1.9(f) & 1.27(d))--NONPROFIT ORGANIZATION

DEC 14 1999

Docket Number (Optional)  
HS 102

Applicant, Patentee, or Identifier: Gary A. Bannon, A. Wesley Bunn Jr., Hugh A. Simpson, and Howard B. Sosin

Application or Patent No.: 09/141,220

Filed or Issued: August 27, 1998

Title: METHODS AND REAGENTS FOR DECREASING CLINICAL REACTION TO ALLERGY

I hereby state that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF NONPROFIT ORGANIZATION Mt. Sinai School of Medicine of the City University of New York

ADDRESS OF NONPROFIT ORGANIZATION One Gustave Levy Place

New York, New York 10029-6574

## TYPE OF NONPROFIT ORGANIZATION:

 UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3)) NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA  
(NAME OF STATE \_\_\_\_\_)  
(CITATION OF STATUTE \_\_\_\_\_) WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3))  
IF LOCATED IN THE UNITED STATES OF AMERICA WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED  
STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA  
(NAME OF STATE \_\_\_\_\_)  
(CITATION OF STATUTE \_\_\_\_\_)

I hereby state that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees to the United States Patent and Trademark Office regarding the invention described in:

- the specification filed herewith with title as listed above.
- the application identified above.
- the patent identified above.

I hereby state that rights under contract or law have been conveyed to and remain with the nonprofit organization regarding the above identified invention. If the rights held by the nonprofit organization are not exclusive, each individual, concern, or organization having rights in the invention must file separate statements as to their status as small entities and that no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern, or organization having any rights in the invention is listed below:

- no such person, concern, or organization exists.
- each such person, concern, or organization is listed below.

The University of Arkansas, 2404 North University Avenue, Little Rock, Arkansas 72207-3608

Panacea Pharmaceuticals, LLC, 640 Sasco Hill Road, Fairfield, Connecticut 06430

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

NAME OF PERSON SIGNING W. Patrick McGrath, Ph.D.

TITLE IN ORGANIZATION OF PERSON SIGNING Director, Office of Industrial Liaison

ADDRESS OF PERSON SIGNING 1 Gustave L. Levy Place, Box 1675, New York, NY10128

SIGNATURE W. Patrick McGrath DATE November 18, 1999

**STATEMENT UNDER 37 CFR 3.73(b)**Applicant/Patent Owner: Gary A. Bannon, A. Wesley Burks, Jr., Hugh A. Sampson, and Howard B. SosinApplication No./Patent No.: 09/141,220 Filed/Issue Date: August 27, 1998Entitled: METHODS AND REAGENTS FOR DECREASING CLINICAL REACTION TO ALLERGYMt. Sinai School of Medicine of the City University of New York, a Corporation,

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

- the assignee of the entire right, title, and interest; or
- an assignee of an undivided part interest

in the patent application/patent identified above by virtue of either:

A.  An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the Patent and Trademark Office at Reel 009539, Frame 0550, or for which a copy thereof is attached.

OR

B.  A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
2. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
3. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

 Additional documents in the chain of title are listed on a supplemental sheet. Copies of assignments or other documents in the chain of title are attached.

NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the PTO. See MPEP 302-302.8]

The undersigned (whose title is supplied below) is empowered to sign this statement on behalf of the assignee.

November 18th, 1999

Date

Signature

W. Patrick McGrath, Ph.D.

Typed or printed name

Director, Office of Industrial Liaison

Title

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**STATEMENT CLAIMING SMALL ENTITY STATUS  
(37 CFR 1.9(f) & 1.27(c))--SMALL BUSINESS CONCERN**
Docket Number (Optional)  
**HS 102**

Gary A. Bannon, A. Wesley Burks, Jr.,

Applicant, Patentee, or Identifier: Hugh A. Sampson, and Howard B. Sosin

Application or Patent No.: 09/141,220

Filed or Issued: August 27, 1998

Title: **METHODS AND REAGENTS FOR DECREASING  
CLINICAL REACTION TO ALLERGY**

I hereby state that I am

- the owner of the small business concern identified below:  
 an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF SMALL BUSINESS CONCERN Panacea Pharmaceuticals, LLCADDRESS OF SMALL BUSINESS CONCERN 640 Sasco Hill Road  
Fairfield, Connecticut 06430

I hereby state that the above identified small business concern qualifies as a small business concern as defined in 13 CFR Part 121 for purposes of paying reduced fees to the United States Patent and Trademark Office. Questions related to size standards for a small business concern may be directed to: Small Business Administration, Size Standards Staff, 409 Third Street, SW, Washington, DC 20416.

I hereby state that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention described in:

- the specification filed herewith with title as listed above.  
 the application identified above.  
 the patent identified above.



If the rights held by the above identified small business concern are not exclusive, each individual, concern, or organization having rights in the invention must file separate statements as to their status as small entities, and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern, or organization having any rights in the invention is listed below:

- no such person, concern, or organization exists. The University of Arkansas, 2404 North University Avenue, Little Rock, AR  
 each such person, concern, or organization is listed below.

72207-3608; Mt. Sinai School of Medicine of the City University of New York, One Gustave Levy Place, New York, New York 10029-6574

Separate statements are required from each named person, concern or organization having rights to the invention stating their status as small entities. (37 CFR 1.27)

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

NAME OF PERSON SIGNING Howard B. Sosin

TITLE OF PERSON IF OTHER THAN OWNER \_\_\_\_\_

ADDRESS OF PERSON SIGNING 640 Sasco Hill Road, Fairfield, CT 06430SIGNATURE H.B. DATE Nov 3, 1998

**STATEMENT UNDER 37 CFR 3.73(b)**Applicant/Patent Owner: Gary A. Bannon, A. Wesley Burks, Jr., Hugh A. Sampson, and Howard B. SosinApplication No./Patent No.: 09/141,220 Filed/Issue Date: August 27, 1998Entitled: METHODS AND REAGENTS FOR DECREASING CLINICAL REACTION TO ALLERGYPanacea Pharmaceuticals, LLC, a Limited Liability Company,

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

- the assignee of the entire right, title, and interest; or
- an assignee of an undivided part interest

in the patent application/patent identified above by virtue of either:

A.  An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the Patent and Trademark Office at Reel 010190, Frame 0516, or for which a copy thereof is attached.

OR--

B.  A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
2. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
3. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

 Additional documents in the chain of title are listed on a supplemental sheet. Copies of assignments or other documents in the chain of title are attached.

**[NOTE]** A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the PTO. See MPEP 302-302.8

The undersigned (whose title is supplied below) is empowered to sign this statement on behalf of the assignee.

November 2, 1999

Date

Signature

Howard B. Sosin

Typed or printed name

Title